



North Carolina State Publications Clearinghouse

Providing Access to State Government Publications

Handbook for State Agencies

Address correspondence concerning the Depository System as follows:

North Carolina State Publications Clearinghouse
Resource Management Services Branch
Government and Heritage Library
State Library of North Carolina
4643 Mail Service Center
Raleigh, NC 27699-4643
Courier: 52-31-33

Telephone: (919) 807-7445, Denise Jones, Agency Liaison Librarian
Email: slnc.digitaldocs@ncdcr.gov or denise.jones@ncdcr.gov
Fax: (919)733-1843

Website: <http://statelibrary.ncdcr.gov/ghl/services/clearinghouse.html>

Address all correspondence concerning reference information about state government publications as follows:

Information Services Branch
Government and Heritage Library
State Library of North Carolina
4641 Mail Service Center
Raleigh, NC 27699-4641

Telephone: (919)807-7450
Fax: (919)733-5679

Address all interlibrary loan correspondence according to standard loan procedures.

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Preface

North Carolina state government agencies are required by law (G.S. 125-11) to deposit multiple copies of their publications with the North Carolina State Publications Clearinghouse of the State Library of North Carolina, North Carolina Department of Cultural Resources. This *Handbook* is provided to assist agency contacts to comply with G.S. 125-11, "An act to establish and maintain a depository library system for publications of North Carolina State Government."

This *Handbook* examines the following: the North Carolina State Documents Depository System; agency participation in the program, including advantages to the agency; responsibilities of the agency contacts; definition of state publications; procedure for depositing publications with the Clearinghouse; and appropriate sample forms.

This *Handbook* will enable your agency to understand the program and to participate fully, thereby providing the citizens of North Carolina with convenient access to the many valuable publications produced by their state agencies.

Questions and suggestions concerning the *Handbook*, the Depository System, or any aspect of your agency's compliance with the law regarding this program are welcome. Please address them to:

Denise Jones
State Publications Clearinghouse Liaison
North Carolina State Publications Clearinghouse
Resource Management Services Branch
Government and Heritage Library
State Library of North Carolina
4643 Mail Service Center
Raleigh, NC 27699-4643

Telephone: (919)807-7445
Email: denise.jones@ncdcr.gov
Fax: (919)733-1843

Section I: North Carolina State Documents Depository System

Purpose of the depository library program

The North Carolina State Documents Depository System, created by [G.S. 125-11](#), effective October 1, 1987, established for the first time in North Carolina an orderly system for the distribution of publications of state agencies through the North Carolina State Publications Clearinghouse to designated depository libraries. The system, combined with the services of the State Library and those of the depository libraries, enables citizens from all areas of North Carolina to have timely and easy access to the valuable current and historical publications of their state government.

Services provided by the State Library

In the law the State Library is designated as "the official, complete, and permanent depository for all state publications," and is held responsible for carrying out the provisions of [G.S. 125-11](#); developing and maintaining standards for depository libraries; designating and contracting with public, community college, technical college, special, college or university libraries as either full or selective depository libraries; and adopting rules to administer the program.

The Government and Heritage Library which is part of the State Library of North Carolina also provides information and reference services concerning North Carolina and federal publications to state and local government officials, the members of the General Assembly, state employees, and the general public by telephone, mail or in person. Publications are loaned directly to state employees and through interlibrary loan to libraries serving other citizens across the state and the nation. For information and reference services concerning North Carolina State government publications, please contact the Information Services Branch, Government and Heritage Library, State Library of North Carolina, 4641 Mail Service Center, Raleigh, NC 27699-4641; 919/807-7450; Fax 919/733-5679.

Services provided by the State Publications Clearinghouse

The North Carolina State Publications Clearinghouse is responsible for collecting, classifying, cataloging, and distributing the publications of state government for the Depository Library System. The Clearinghouse produces bi-monthly the [Checklist of Official North Carolina State Publications](#) which lists new titles cataloged by the Clearinghouse during the preceding two months.

When publications are submitted to the Clearinghouse, two copies are sent to the U.S. Library of Congress, and two copies are retained in the Government and Heritage Library, state documents collection for permanent reference and for loan. All additional paper copies are sent to depository libraries requesting paper copies of agency publications.

For publications that exist exclusively in digital format on agency web sites, the Clearinghouse now maintains a digital repository of publications, the [North Carolina State Government Publications Collection](#), to provide access to publications throughout the State. This repository is accessible through NC Live as well through the State Library's web pages.

The Clearinghouse is responsible for maintaining records of publications received, classified and cataloged; of publications previously microfiched; and the distribution of all items through the Depository System. Serving as the liaison between the state agencies and the depository libraries, the Clearinghouse strives to maintain open, clear, and continually good communication with both entities.

Please address Depository System inquiries to: Denise Jones, State Publications Clearinghouse Liaison, Resource Management Services Branch, Government & Heritage Library, State Library of North Carolina, 4643 Mail Service Center, Raleigh, NC 27699-4643; 919/807-7445; Fax 919/733-1843.

Services provided by [Depository Libraries](#)

Libraries that are interested in becoming depositories apply and must meet certain standards regarding their geographic location, interlibrary loan, and reference service as well as space availability. Libraries receive from the Clearinghouse documents in paper copy. Access to digital publications is provided through the North Carolina State Government Publications Collection repository. Libraries also choose to be designated as full depositories and receive all publications, or they may be selective, taking fewer publications based on the needs of their community.

The purpose of a full depository is to provide a complete research collection of state publications for the use of citizens and students in a major geographical area. Selective depositories provide ready access to fewer state publications for local residents and depend on the nearest full depository for additional material through interlibrary loan cooperation. Reference assistance is available for library users requesting state government information.

Section II: Agency participation in the Depository System

State agency responsibilities

The publications of state government are the heart of the North Carolina State Documents Depository Program. Full state agency participation is essential to the success of the whole depository enterprise. Centralized distribution of state publications to libraries is cost effective for the agencies. The depository system provides state agencies with the opportunity to have their publications available in a variety of geographic locations and accessible to the citizens of North Carolina with a minimum of effort on the part of the agency. In addition, digital publications added to the North Carolina State Government Publications Collection repository will be preserved by the State Library.

In [G.S. 125-11](#), a state agency is defined as "every State department, institution, board, and commission." The Statute provides further that "state agencies shall send the requested number of copies of each of their publications to the Clearinghouse within 10 days of issuance."

Before 1987, many agencies had been accustomed to sending five copies of all publications to the State Library. When the depository system was established in 1988, the Clearinghouse requested more copies to serve the depositories.

The statute requires that all agencies have a designated agency contact who is responsible for sending the appropriate number of copies of each of the agency's publications to the Clearinghouse. The statute also requires agencies to notify the Clearinghouse within 30 days of any change of contact information.

Advantages of participation

There are several advantages to state agencies' full participation:

1. Two copies of print publications submitted to the State Publications Clearinghouse are sent to the U.S. Library of Congress. These publications are thereby available to the North Carolina Congressional delegation for official use.
2. Two copies of each print publication submitted are retained at the State Library, one on permanent reference, one available for loan.
3. All additional copies requested in addition to the first four are sent to designated depository libraries which have requested agency publications in paper copy.
4. All publications submitted and cataloged are listed in the bi-monthly [Checklist of Official North Carolina Publications](#) produced by the Clearinghouse and available on the Internet, providing publicity for state government programs, studies, and other special publications.
5. The Clearinghouse classifies submitted publications according to the [Classification Scheme for North Carolina State Publications](#). Information about each publication is entered into OCLC, an international bibliographic database where users from other libraries may find the publication listed.
6. The automatic distribution of paper copies of state publications to designated depository libraries in all parts of the state enables citizens to have timely and easy access to information produced by their government.
7. Digital copies of publications are submitted to the Clearinghouse and are added to the digital repository. These publications are also cataloged and available through multiple access points including WorldCat, the State Library's catalog, and the catalogs of depository libraries.
8. Centralized distribution from the Clearinghouse allows agencies to reduce their mailing lists or possibly delete some recipients altogether. Centralized distribution also reduces the number of specific title requests to each agency from libraries.

Section III: Responsibilities of the agency contact

To enable full agency participation, the statute requires agency contacts be named in each state agency to supply its publications to the Clearinghouse. The agency contacts may act as a conduit between the individual publishing entities within an agency and the Clearinghouse.

The agency contacts should have a thorough knowledge of the agency, its publications, and policies regarding submission of documents to the Clearinghouse. The agency contacts may act as a conduit between the individual publishing entities within an agency and the Clearinghouse. The agency contact is responsible for seeing that the agency's publications are sent to the Clearinghouse in a timely and efficient manner. General Statute 125-11.10 requires "State agencies shall send the requested number of copies of each of their publications to the Clearinghouse within 10 days of issuance." The practice of holding material "until a box is full," or mailing monthly or less often is prohibited by this statement in the law. Publishing units and agency contacts are required to comply with [G.S. 125-11](#).

Some agency contacts notify all units in the agency at least annually concerning how to submit digital documents and the number of documents required to be transmitted to the Clearinghouse in order for the unit to submit the documents directly to the Clearinghouse. Section V of this *Handbook* has been designed to answer questions about sending documents and compliance with the law. Agency contacts are free to use and distribute to publishing units in the agency. A chart describing the number of publications is in Section V, page 12, of this document.

In the past a [Publications Transmittal Form](#) was required to be included with the shipment of print publications. A transmittal form is no longer required but agencies can still submit transmittal forms if they wish. These are beneficial in having the most complete and accurate publication information. For digital publications that are copyrighted, a completed [Copyright Release Form](#) is needed. The agency contact is responsible for obtaining a signed Copyright Release for each copyrighted title and forwarding the signed release with the digital copy. Only one copyright release is needed for a title being sent to the Clearinghouse.

It is suggested that a system be established in each agency to record the titles published and the number of copies sent to the Clearinghouse. This will enable the agency contacts to respond easily to any queries concerning items published, sent, or missing.

The Clearinghouse will send requests for publications not received or for publications received in insufficient quantities to the appropriate agency contact. Communication between agency contacts and the Clearinghouse is encouraged to assure understanding of which publications are to be sent, that the correct number of publications is sent; that the Copyright Release Form is submitted when needed, and to generally respond to inquiries and concerns.

Section IV: State publication defined

Two definitions in G.S. 125-11 are pertinent to this section:

1. "**Document** means any printed document including any report, directory, statistical compendium, bibliography, map, regulation, newsletter, pamphlet, brochure, periodical, bulletin, compilation, or register, regardless of whether the printed document is in paper, film, tape, disk, or any other format."
2. "**State publication** means any document prepared by a State agency or private organization, consultant, or research firm, under contract with or under the supervision of a State agency: Provided, however, the term **state publication** does not include administrative documents used only within the issuing agency, documents produced for instructional purposes that are not intended for sale or publication, appellate division reports and advance sheets distributed by the Administrative Office of the Courts, the S.B.I. Investigative *Bulletin*, documents that will be reproduced in the Senate or House of Representatives Journals, or documents that are confidential pursuant to Article 17 of Chapter 120 of the General Statutes."

The Statute further indicates that the State Library "shall receive five copies of all State publications in addition to the copies required for the depository system: Provided, however, the State Library shall receive only five copies of any State publication offered for sale by a State agency at a price at least high enough to recover production costs: Provided, further, the State Library, notwithstanding the definition of **state publication** contained in this Article, shall have authority to exclude from required deposit in the State Library any items or materials which it finds are not appropriate for deposit."

Some items are exempt from deposit based on the nature of the item or its content. Examples of such items are intra-office memos or administrative documents, internal training materials, manuals or handbooks for internal office staff use, and budget requests or contracts. In addition, time-sensitive materials, such as activity announcements, seminar schedules, and calendars of events which will be out-of-date in three months are exempt. Meeting minutes, agendas, radio or TV spots and individual job announcements are also exempt from deposit. A more complete listing is given in Section V.

Generally, materials reflecting the internal organization and function of the agency (items listed in the agency's records management schedule) would not be deposited with the Clearinghouse. If the publication is not listed as a part of the records management schedule and is not among the exempt items listed above, it is likely to be a depository item. Contact the Government Records Branch, Office of Archives and History at (919) 807-7350 for information on a records management schedule for your agency or office. Information is also available on the Government Records Branch web site (<http://www.records.ncdcr.gov/>).

All other publications are required for deposit, including any produced exclusively in digital format. Publications in digital format only need to have one copy deposited. Digital copies may be emailed to slnc.digitaldocs@ncdcr.gov.

The Clearinghouse is mandated to make publications in paper format available to depository libraries across the state. Therefore, publications that are produced in both digital and paper must be deposited in **both** formats. Agencies must deposit one digital copy of publications that are distributed exclusively in digital format.

Where the publication was printed, whether within the agency, by another state agency, or by a commercial printing firm, is irrelevant to the status of the materials as a depository item. The targeted audience for publications is not relevant to the depository status of the materials as long as such publications are available for distribution outside of the agency.

Five free copies of all publications produced by state agencies for sale to the public must be deposited with the Clearinghouse within ten days of issuance. Depository libraries wanting a paper copy of those publications must order them directly from the issuing agency, following the agency's billing procedures.

If copies are not intended to be printed, but distributed digitally, the digital copy must still be submitted to the Clearinghouse through email (slnc.digitaldocs@ncdcr.gov). Section V, page 12, contains more options for submitting digital publications.

When there is doubt about a particular publication being appropriate for deposit, please indicate reasons in writing and send a sample copy for examination to:

Denise Jones, State Publications Clearinghouse Liaison
N.C. State Publications Clearinghouse
Government and Heritage Library
State Library of North Carolina
4643 Mail Service Center
Raleigh, NC 27699-4643
(919)807-7445
(919)733-1843 (fax)
denise.jones@ncdcr.gov

Staff from the Clearinghouse, are available to come and speak with your publications staff. Please contact the Clearinghouse Liaison Librarian, [Denise Jones](#), to set up an appointment.

Section V: Procedure for Depositing Publications with the Clearinghouse

Introduction

The following section has been prepared as a stand-alone description of the procedure for sending documents to the Clearinghouse. Agency contacts who have chosen to delegate the responsibility to publishing units may wish to reproduce and distribute this section to those agency publishing units. This will help insure that all know the procedure for submitting required documents to the Clearinghouse.

Agency contacts may find it helpful to attach a copy of [General Statute 125-11](#) and the list of [depository libraries](#). The contact should remind the unit that their mailing lists can be purged of the addresses for libraries listed, if the agency complies with depository law by sending publications directly to the Clearinghouse.

Some titles of state government publications are considered basic for any library collection. These publications are called [Core Collection](#) titles. Agency contacts should carefully note which of these publications, if any, are published by their agency and inform the unit that the title is listed as a core title. If possible, the Clearinghouse should be notified a month in advance when a new edition of a Core List title is expected.

Every depository library must have copies of Core Collection publications in paper copy or digital format. Publications on the Core list for which there is a charge will be ordered directly from the issuing agency by the depository library wanting a copy and will be paid for following the agency's billing procedures. The State Library, under G.S. 125-11, is to receive, free of charge, five copies of any state publications offered for sale, including those on the Core List. Ten copies of publications on the Core List for which there is no charge are to be sent directly to the Clearinghouse.

It is suggested that agency contacts schedule a meeting every year with the agency's publishing units and staff from the North Carolina State Publications Clearinghouse. This meeting will assist the agency contacts to review the process, introduce new publishing units to the program, and provide a forum to express concerns about any procedure they are expected to perform. The Clearinghouse staff is available to provide a training session on the depository system and document transmittal whenever requested.

Deposit procedure

When a print or digital publication is produced by a state agency, the agency is required by law, as stated in G.S. 125-11, to send, either directly or through the agency contacts, copies of the publication to the North Carolina State Publications Clearinghouse at the State Library and within 10 days of issuance.

Which publications qualify?

Documents or publications as defined in G.S. 125-11, which are published by any state department, institution, board, or commission and documents caused to be published by any of these state entities are required for deposit with the Clearinghouse. Examples are listed in the following excerpts from the law.

1. "Documents mean any printed document including any report, directory, statistical compendium, bibliography, map, regulation, newsletter, pamphlet, brochure, periodical, bulletin, compilation, or register, regardless of whether the printed document is in paper, film, tape, disk, or any other format."
2. "State publication means any document prepared by a State agency or private organization, consultant, or research firm, under contract with or under the supervision of a State agency: Provided, however, the term State Publication does not include administrative documents used only within the issuing agency, documents produced for instructional purposes that are not intended for sale or publication, appellate division reports and advance sheets distributed by the Administrative Office of the Courts, the S.B.I. Investigative *Bulletin*, documents that will be

reproduced in the Senate or House of Representatives Journals, or documents that are confidential pursuant to Article 17 of Chapter 120 of the General Statutes."

Which publications are exempt?

All agencies: the following items are **exempt** from deposit

1. Activity announcements
2. Calendar of current single or multiple events which will occur within three months of issuance (annual calendar of events are **not exempt**)
3. News releases
4. Published versions of radio and television spots (published speeches are **not exempt**)
5. Manuals or handbooks for internal office staff use or training
6. Intra-office or inter-office memorandums or administrative documents
7. Contracts
8. Unit and section budget requests (publications of the Office of State Budget, Planning and Management are **not exempt**)
9. Individual forms
10. Separately published job announcements
11. Meeting agendas
12. Meeting minutes
13. Concert, drama, dance programs (exhibition catalogs are **not exempt**)

Universities and colleges: the following items are **exempt** from deposit

1. Applications
2. Material geared for parents
3. Course schedules
4. Weekly student newspapers
5. Daily student newspapers
6. Conference Brochures/pamphlets
7. Class schedules, seminar announcements (college bulletins or catalogs are **not exempt**)
8. Some departmental/faculty newsletters - this is determined on a case by case basis
9. Advertisements (Mail or posters)
10. Tickets/ envelopes
11. Posters

Universities and colleges: the following items are **NOT** exempt and should be sent to the Clearinghouse

1. Publications from university institutes/centers
2. University histories
3. Exhibition catalogs
4. College handbooks
5. University catalogs
6. Annual Reports
7. Alumni pubs
8. Progress Reports
9. University Magazines
10. Chancellor Reports
11. Commencement materials

How many copies are required to be sent to the Clearinghouse?

Under G.S. 125-11, the Clearinghouse receives, free of charge, five copies of any state print publication. Two copies are sent to the U.S. Library of Congress, two copies are retained in the Government and Heritage Library, state documents collection (one for permanent reference and one for loan), and one

copy is available for depository libraries. If the item is not offered for sale, an additional 5 copies (for a total of 10 copies) should be sent to the Clearinghouse. The Clearinghouse will distribute the copies to the depository libraries. Publications for which there is a charge will be ordered by depository libraries directly from the issuing agency and paid for following the agency's billing procedures. Agencies are strongly encouraged to supply free of charge all publications on the [Core Collection List](#) to depository libraries whenever feasible.

Print publication is for sale	send 5 print copies
Print publication is NOT for sale	send 10 print copies
Publication is digital only	send 1 digital copy
Publication is both print and digital	send 1 digital and appropriate number of print copies as stated above

What about a digital publication that is exclusively available through the agency's web site?

For publications distributed only through a web site, the publication still must be sent to the Clearinghouse. Send digital publications to slnc.digitaldocs@ncdcr.gov or request access to the Clearinghouse's Dropbox, and put digital publications in Dropbox. A signed [copyright release](#) should be included for any digital title that is copyrighted.

What is the purpose of the copyright release form?

The copyright release will allow the Clearinghouse to add an electronic copy of the publication to the State Publications Collection repository.

How should the paper publications be sent to the Clearinghouse?

Shipments may be in boxes or in envelopes, but all copies of one title should be in one shipment if possible. The packages may be sent through interoffice mail for agencies in Raleigh that are eligible for that service. The State Courier Service or the U.S. Postal Service, Library Rate, may be used marking the packages accordingly. The Clearinghouse Courier number is 52-31-33. Publications can also be dropped off at the State Library or call Clearinghouse Liaison to arrange pick-up.

Paper publications are almost always created in a digital form and then sent for printing. Whenever possible, please also send the digital file of the paper publication – even if the publication is not distributed digitally. That way the publication can be added to the digital repository of publications.

How will I know the Clearinghouse received the copies?

If requested, the Clearinghouse will notify the agency contact that a shipment has been received. If the shipment is incomplete or if there are other discrepancies, the Clearinghouse will notify the agency contact in order to rectify any discrepancies.

We publish some things in limited quantities. What should I do when we don't have enough copies?

The depository system does not require large numbers of copies of publications. Each agency publishing unit should be aware of which libraries in the state are depositories under G.S. 125-11 so that your agency is not sending duplicate copies to libraries which should be receiving publications through the Clearinghouse. When each agency publishing unit complies with the law, duplications will not occur.

If insufficient copies of a title are received, the Clearinghouse will send a request to the agency contact for the additional copies of the publication. It is important that, if available, the additional copies be promptly sent to the Clearinghouse.

Occasionally the Clearinghouse learns of a publication already issued but not received as required by G.S. 125-11. If that occurs, a request will be submitted by the Clearinghouse to the agency contact of the issuing agency for the copies needed.